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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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Application of: Xu *et al.*

Application No.: 09/763,334

Art Unit: 1646

Filed: August 6, 2001

Examiner: to be assigned

For: TREATMENT AND PREVENTION OF  
CANCER AND PITUITARY DISORDERS  
WITH LATS PROTEINS, DERIVATIVES  
AND FRAGMENTS, AND LATS KNOCK-  
OUT ANIMAL MODELS (corrected)

Attorney Docket No.: 6523-020-999

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

Enclosed is the original and one copy of the Official Filing Receipt for the above-identified application. Please note the typographical errors where highlighted on the copy in the "Applicant" and "Title" sections.

Specifically, please delete the residence city of inventor Tian Xu as "Guildford" and insert therefor -- Guilford --.

Please delete the title "Lats knock-out animals models and their uses" and insert therefor -- Treatment and prevention of cancer and pituitary disorders with lats proteins, derivatives and fragments, and lats knock-out animal models --.

Enclosed herewith Exhibit A, a copy of the Executed Declaration for Non-Provisional Patent Application, which was filed on August 6, 2001 and which indicates the correct residence city of inventor Tian Xu; and Exhibit B, a copy of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US), which was filed on February 16, 2001, and which indicates the correct title of the application. Applicants request a corrected Filing Receipt that accurately reflects the residence of inventor Tian Xu and the title of the

application, as evidenced by the Declaration (Exhibit A) and the Transmittal Letter (Exhibit B).

Since this error in the Filing Receipt is on the part of the United States Patent and Trademark Office, it is believed no fee should be charged to Applicants for correction of the Filing Receipt. However, if any fee is required, please charge the necessary fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this document is enclosed for accounting purposes.

Respectfully submitted,

Date: April 22, 2002

Adriane M. Antler 32,605  
Adriane M. Antler (Reg. No.)

By:

Margaret B. Brivanlou 40,922  
Margaret B. Brivanlou (Reg. No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090

**Enclosures**

Exhibit A: Copy of the Executed Declaration for Non-Provisional Patent Application, filed on August 6, 2001

Exhibit B: Copy of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) filed on February 16, 2001

Original Filing Receipt

Highlighted copy of Filing Receipt

FORM PTO-1390  
(REV. 11-98)U.S. DEPARTMENT OF COMMERCE,  
PATENT AND TRADEMARK OFFICE

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**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)**

6523-020-999

ADD 2.2.0000

09/763334

INTERNATIONAL APPLICATION NO.  
PCT/US99/19068INTERNATIONAL FILING DATE  
August 18, 1999PRIORITY DATE CLAIMED  
August 18, 1998

## TITLE OF INVENTION

TREATMENT AND PREVENTION OF CANCER AND PITUITARY DISORDERS WITH LATS PROTEINS, DERIVATIVES AND FRAGMENTS, AND LATS KNOCK-OUT ANIMAL MODELS

## APPLICANT(S) FOR DO/EO/US

Tian Xu, Wufan Tao, Maie A.R. St. John, Xiaolan Fei, Royd K. Fukumoto, Sheng Zhang, Gregory S. Turenchalk, and Rodney A. Stewart

Applicant herewith submits to the United States Designated/ Elected Office (DO/EO/US) the following items under 35 U.S.C. 371:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the international Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureaus.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 37(c)(3)).
9. ☒ An unexecuted oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  1. Copy of Preliminary Examination Report
  2. Copy of Preliminary Search Report
  3. Copy of WO 00/10602

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17. ☒ The U.S. National Fee (35 U.S.C. 371(c)(1)) and other fees as follows:

CLAIMS				
(1)FOR	(2)NUMBER FILED	(3)NUMBER EXTRA	(4)RATE	(5)CALCULATIONS
TOTAL CLAIMS	115 - 20	95	X \$ 18.00	\$ 1,710.00
INDEPENDENT CLAIMS	22 - 3	19	X \$ 80.00	1,520.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$ 270.00	\$ 270.00
BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): CHECK ONE BOX ONLY				
<input checked="" type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482)			\$ 690	\$ 690.00
<input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))			\$ 710	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO			\$ 1000	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2) to (4)			\$ 100	
<input type="checkbox"/> Filing with EPO or JPO search report			\$ 860	
Surcharge of \$130.00 for furnishing the National fee or oath or declaration later than 30 mos. from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00
TOTAL OF ABOVE CALCULATIONS				= 4,320.00
Reduction by 1/2 for filing by small entity, if applicable. Affidavit must be filed also. (Note 37 CFR 1.9, 1.27, 1.28).				- \$ 0.00
SUBTOTAL				= 4,320.00
Processing fee of \$130.00 for furnishing the English Translation later than 20 30 mos. from the earliest claimed priority date (37 CFR 1.492(f)).				+
TOTAL FEES ENCLOSED				\$ 4,320.00

- a. ☐ A check in the amount of \$\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge Deposit Account No. 16-1150 in the amount of \$\_\_ to cover the above fees. A copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 16-1150. A copy of this sheet is enclosed.
18. ☐ Other instructions  
n/a
19. ☒ All correspondence for this application should be mailed to  
PENNIE & EDMONDS LLP  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NEW YORK 10036-2711
20. ☒ All telephone inquiries should be made to (212) 790-2803

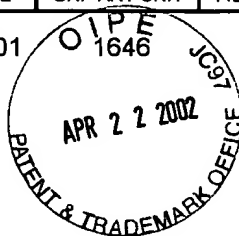
Adriane M. Antler  
NAMEAdriane M. Antler  
SIGNATURE32,605  
REGISTRATION NUMBERFebruary 16, 2001  
DATEBy Margaret B. Brindley  
Reg No. 40,922



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/763,334	08/06/2001	1646	4320	6523-020-999	25	93	22



CONFIRMATION NO. 5438

## FILING RECEIPT



\*OC00000007584181\*

Pennie & Edmonds  
1155 Avenue of the Americas  
New York, NY 10036-2711

Date Mailed: 03/07/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Tian Xu, Guildford, CT;  
Wufan Tao, Minneapolis, MN;  
Maie A.R. St. John, Los Angeles, CA;  
Xiaolan Fei, New Haven, CT;  
Royd K. Fukumoto, New York, NY;  
Sheng Zhang, New Haven, CT;  
Gregory S. Turenchalk, New Haven, CT;  
Rodney A. Stewart, New Haven, CT;

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## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/US99/19068 08/18/1999  
WHICH CLAIMS BENEFIT OF 60/096,996 08/18/1998  
THIS APPLICATION 09/763,334  
CLAIMS BENEFIT OF 60/096,997 08/18/1998

## Foreign Applications

Projected Publication Date: Not Applicable, filed prior to November 29, 2000

Non-Publication Request: No

Early Publication Request: No

REFERRED TO REC'D *Pennie & Edmonds*

MAR 13 2002

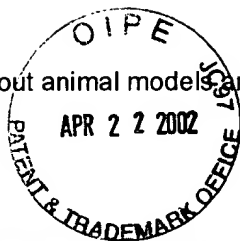
Pennie & Edmonds  
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Title

/ Lats knock-out animal models and their uses

Preliminary Class

514



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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**FILE COPY**
**UNITED STATES PATENT AND TRADEMARK OFFICE**

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 United States Patent and Trademark Office  
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 Alexandria, Virginia 22313-1450  
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Bib Data Sheet

**CONFIRMATION NO. 5438**

<b>SERIAL NUMBER</b> 09/763,334	<b>FILING DATE</b> 08/06/2001 <b>RULE</b>	<b>CLASS</b> 800	<b>GROUP ART UNIT</b> 1632	<b>ATTORNEY DOCKET NO.</b> 6523-020-999
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**APPLICANTS**

Tian Xu, Guilford, CT;  
 Wufan Tao, Minneapolis, MN;  
 Maie A.R. St. John, Los Angeles, CA;  
 Xiaolan Fei, New Haven, CT;  
 Royd K. Fukumoto, New York, NY;  
 Sheng Zhang, New Haven, CT;  
 Gregory S. Turenchalk, New Haven, CT;  
 Rodney A. Stewart, New Haven, CT;

**\*\* CONTINUING DATA \*\*\*\*\***

This application is a 371 of PCT/US99/19068 08/18/1999  
 which claims benefit of 60/096,996 08/18/1998  
 This application 09/763,334  
 claims benefit of 60/096,997 08/18/1998

**\*\* FOREIGN APPLICATIONS \*\*\*\*\*****IF REQUIRED, FOREIGN FILING LICENSE GRANTED**

\*\* 05/21/2003

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	<b>STATE OR COUNTRY</b> CT	<b>SHEETS DRAWING</b> 25	<b>TOTAL CLAIMS</b> 93	<b>INDEPENDENT CLAIMS</b> 22
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature	Initials		

**ADDRESS**

Pennie & Edmonds  
 1155 Avenue of the Americas  
 New York ,NY 10036-2711

**TITLE**

Treatment and prevention of cancer and pituitary disorders with lats proteins, derivatives and fragments, and lats knock-out animal models

<b>FILING FEE RECEIVED</b> 4320	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
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		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
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